



IAPD Report

Ryan Lee Sheets

CRD# 5248677

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Ryan Lee Sheets (CRD# 5248677)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA INVESTORS SECURITIES, LLC	CRD# 32205	05/07/2026
IA	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	05/07/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	TRANSAMERICA RETIREMENT ADVISORS, LLC	107319	Annandale, MN	07/01/2015 - 11/05/2025
B	TRANSAMERICA INVESTORS SECURITIES, LLC	32205	ST. PAUL, MN	06/18/2015 - 11/05/2025
B	STATE FARM VP MANAGEMENT CORP.	43036	COLD SPRING, MN	06/03/2014 - 05/29/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	6
Criminal	1
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **50** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TRANSAMERICA INVESTORS SECURITIES, LLC**
Main Address: 440 MAMARONECK AVENUE
HARRISON, NY 10528
Firm ID#: 32205

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	05/07/2026
	Alabama	Agent	Approved	05/07/2026
	Alaska	Agent	Approved	05/11/2026
	Arizona	Agent	Approved	05/19/2026
	Arkansas	Agent	Approved	05/14/2026
	California	Agent	Approved	05/07/2026
	Colorado	Agent	Approved	05/11/2026
	Connecticut	Agent	Approved	05/07/2026
	Delaware	Agent	Approved	05/07/2026
	District of Columbia	Agent	Approved	05/19/2026
	Florida	Agent	Approved	05/08/2026
	Georgia	Agent	Approved	05/08/2026
	Hawaii	Agent	Approved	06/16/2026



Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	05/07/2026
B	Illinois	Agent	Approved	05/13/2026
B	Indiana	Agent	Approved	05/13/2026
B	Iowa	Agent	Approved	05/11/2026
B	Kansas	Agent	Approved	05/07/2026
B	Kentucky	Agent	Approved	05/08/2026
B	Louisiana	Agent	Approved	05/07/2026
B	Maine	Agent	Approved	05/07/2026
B	Maryland	Agent	Approved	07/07/2026
B	Massachusetts	Agent	Approved	05/20/2026
B	Michigan	Agent	Approved	05/11/2026
B	Minnesota	Agent	Approved	05/07/2026
B	Mississippi	Agent	Approved	05/07/2026
B	Montana	Agent	Approved	05/14/2026
B	Nebraska	Agent	Approved	05/21/2026
B	Nevada	Agent	Approved	05/08/2026
B	New Jersey	Agent	Approved	05/07/2026
B	New Mexico	Agent	Approved	05/08/2026
B	New York	Agent	Approved	06/01/2026



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/12/2026
B	North Dakota	Agent	Approved	05/12/2026
B	Ohio	Agent	Approved	05/07/2026
B	Oklahoma	Agent	Approved	05/18/2026
B	Oregon	Agent	Approved	05/18/2026
B	Pennsylvania	Agent	Approved	05/11/2026
B	Puerto Rico	Agent	Approved	05/14/2026
B	Rhode Island	Agent	Approved	05/20/2026
B	South Carolina	Agent	Approved	05/08/2026
B	South Dakota	Agent	Approved	05/07/2026
B	Tennessee	Agent	Approved	05/12/2026
B	Texas	Agent	Approved	05/07/2026
B	Utah	Agent	Approved	05/26/2026
B	Vermont	Agent	Approved	05/08/2026
B	Virginia	Agent	Approved	05/18/2026
B	Washington	Agent	Approved	05/11/2026
B	West Virginia	Agent	Approved	05/20/2026
B	Wisconsin	Agent	Approved	05/21/2026
B	Wyoming	Agent	Approved	05/08/2026



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

Annandale, MN

Employment 2 of 2

Firm Name: **TRANSAMERICA RETIREMENT ADVISORS, LLC**
Main Address: 6400 C STREET SW
CEDAR RAPIDS, IA 52499
Firm ID#: 107319

Regulator	Registration	Status	Date
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IA	Minnesota	Investment Adviser Representative	Approved	05/07/2026
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Branch Office Locations

TRANSAMERICA RETIREMENT ADVISORS, LLC
Annandale, MN



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/18/2007

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	06/30/2015
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/18/2006



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/01/2015 - 11/05/2025	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	Annandale, MN
B	06/18/2015 - 11/05/2025	TRANSAMERICA INVESTORS SECURITIES, LLC	CRD# 32205	ST. PAUL, MN
B	06/03/2014 - 05/29/2015	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	COLD SPRING, MN
B	09/13/2013 - 11/15/2013	LPL FINANCIAL LLC	CRD# 6413	SARTELL, MN
IA	09/13/2013 - 11/15/2013	LPL FINANCIAL LLC	CRD# 6413	SARTELL, MN
IA	04/22/2010 - 09/18/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	01/19/2007 - 09/18/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2026 - Present	Transamerica Investors Securities, LLC	Registered Rep	Y	Annandale, MN, United States
05/2026 - Present	Transamerica Life Insurance Company	Client Relationship Manager III	Y	Annandale, MN, United States
11/2025 - 05/2026	Unemployed	NA	N	Annandale, MN, United States
06/2015 - 11/2025	TRANSAMERICA INVESTORS SECURITIES CORPORATION	REGISTERED REP	Y	ST. PAUL, MN, United States
06/2015 - 11/2025	TRANSAMERICA RETIREMENT SOLUTIONS	FINANCIAL ADVISOR	Y	SAINT PAUL, MN, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Sheets LLC. The EIN is 86-1591732. The business is not investment related. The physical address for the storage sheds is 5355



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Eagle Lane, Browns Valley, MN 56219. My personal address is listed as mailing for Sheets LLC, which is 9142 Kimball Ave. NW, Annandale, MN 55302. The land is located near Lake Traverse which is near Wheaton and Browns Valley MN. The nature of the business is storage sheds. I am an owner. We anticipate less than 10 hours per month. I will not devote any hours during securities trading hours. My duties include helping manage all aspects of the storage sheds.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	6
Criminal	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 6

Reporting Source:	Individual
Regulatory Action Initiated By:	State Corporation Commission Bureau of Insurance
Sanction(s) Sought:	Other: \$500.00
Date Initiated:	10/17/2016
Docket/Case Number:	68813
Employing firm when activity occurred which led to the regulatory action:	Transamerica
Product Type:	No Product
Allegations:	Alleged failure to timely report Administrative actions taken by New York State Department of Financial Services and the Oregon Division of Finance and Corporate Securities and non-disclosure of misdemeanor charge on licensing renewal application.
Current Status:	Final
Resolution:	Paid \$500.00
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 12/21/2016
Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines
Total Amount: \$500.00
Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/09/2016

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 6

Reporting Source: Individual

Regulatory Action Initiated By: California Department of Insurance

Sanction(s) Sought: Other: Order of Revocation of Unrestricted License and for Issuance of Restricted License and for Monetary Penalty

Date Initiated: 08/08/2016

Docket/Case Number: PLBS 10579-AP (AR)

Employing firm when activity occurred which led to the regulatory action: Transamerica

Product Type: No Product

Allegations: Alleged failure to notify the Commissioner of a change in background information pursuant to California Insurance Code Sections 1729.2(a) and 1729.2(d).

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/07/2016

Sanctions Ordered: Monetary Penalty other than Fines
Revocation

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines



Total Amount: \$493.00

Portion Levied against individual: \$493.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 3 of 6

Reporting Source: Individual

Regulatory Action Initiated By: Missouri Department of Insurance

Sanction(s) Sought: Other: Voluntary Forfeiture of \$500.00

Date Initiated: 09/16/2016

Docket/Case Number: 276523

Employing firm when activity occurred which led to the regulatory action: Transamerica

Product Type: No Product

Allegations: Alleged failure to timely report Administrative actions taken by New York State Department of Financial Services and the Oregon Division of Finance and Corporate Securities and misstatements on insurance license renewal applications.

Current Status: Final

Resolution: Voluntary Forfeiture of \$500.00

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/04/2016

Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current:



Date Paid by individual: 09/23/2016

Was any portion of penalty waived? No

Amount Waived:

Disclosure 4 of 6

Reporting Source: Individual

Regulatory Action Initiated By: Louisiana Department of Insurance

Sanction(s) Sought: Other: Notice of Fine

Date Initiated: 07/26/2016

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: Transamerica

Product Type: No Product

Allegations: Alleged failure to notify the Commissioner of New York Department of Financial Services Stipulation No. 2016-0071-S within thirty (30) days of the final disposition of the matter pursuant to La. R.S. 22:1563(A).

Current Status: Final

Resolution: Paid Fine

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/27/2016

Sanctions Ordered: Other: Monetary Fine

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/27/2016

Was any portion of penalty waived? No

Amount Waived:

**Disclosure 5 of 6**

Reporting Source:	Individual
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Other: Stipulation
Date Initiated:	04/26/2016
Docket/Case Number:	2016-0071-S
Employing firm when activity occurred which led to the regulatory action:	Ameriprise Financial
Product Type:	No Product
Allegations:	Respondent provided materially incorrect information within the meaning of Section 2110 (a) (2) of the Insurance Law in his renewal application for an agent's license pursuant to Section 2103 (a) of the Insurance Law, submitted on December 22nd, 2011, in that Respondent failed to disclose conviction of Misdemeanor traffic offense 2009.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/10/2016
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$1,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/29/2016
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 6 of 6

Reporting Source:	Regulator
Regulatory Action Initiated By:	OREGON DEPARTMENT OF BUSINESS AND CONSUMER SERVICES; DIVISION OF FINANCIAL REGULATION



Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/23/2015
Docket/Case Number:	S-15-0104
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	Failure to file a timely amendment to his Oregon salesperson license application within 30 days of the occurrence of a material change.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/23/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	09/17/2015
Was any portion of penalty waived?	Yes
Amount Waived:	\$4,000.00
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Reporting Source:	Individual
Regulatory Action Initiated By:	Oregon Department of Consumer and Business Services
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/11/2015
Docket/Case Number:	S-15-0104



Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES INC.
Product Type:	No Product
Allegations:	Failing to timely file a required amendment to Oregon salesperson license application after a material change to the information contained in the application.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/23/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	Paid in full.
Is Payment Plan Current:	Yes
Date Paid by individual:	09/16/2015
Was any portion of penalty waived?	Yes
Amount Waived:	\$4,000.00



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	STATE OF MINNESOTA
Location of Court:	STEARNS COUNTY, MINNESOTA
Docket/Case #:	CR-09-3175
Charge Date:	05/03/2009
Charge(s) 1 of 1	
Formal Charge(s)/Description:	DRIVER'S LICENSES - USE FICTITIOUS NAME/DOB
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	06/29/2009
Disposition Date:	06/29/2009
Sentence/Penalty:	\$300 FINE
Broker Statement	NOT SECURITIES, INDUSTRY, OR BUSINESS RELATED. CITATION AS PART OF A TRAFFIC STOP.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: LPL FINANCIAL LLC

Termination Type: Discharged

Termination Date: 11/01/2013

Allegations: DID NOT DISCLOSE A CRIMINAL CHARGE TO THE FIRM'S COMPLIANCE DEPARTMENT DURING THE FIRM'S NEW ADVISOR DUE DILIGENCE PROCESS.

Product Type: No Product

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Reporting Source: Individual

Firm Name: LPL FINANCIAL

Termination Type: Discharged

Termination Date: 11/01/2013

Allegations: DID NOT DISCLOSE A CRIMINAL CHARGE TO THE FIRM'S COMPLIANCE DEPARTMENT DURING THE FIRM'S NEW ADVISOR DUE DILIGENCE PROCESS.

Product Type: No Product

Broker Statement NOT SECURITIES, INDUSTRY, OR BUSINESS RELATED. CITATION RECEIVED AS PART OF A TRAFFIC VIOLATION.



End of Report

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